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PATENT

10-10-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Yuste et al.
Serial No. : 10/002,788
Filed : November 3, 2001 Group
For : METHOD AND SYSTEM FOR ANALYZING
FINANCIAL MARKET DATA

Group Art Unit: 210

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231

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INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
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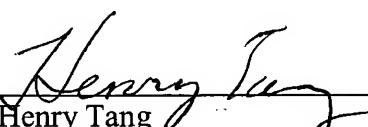
Sir:

Pursuant to the provisions of 37 C.F.R. §§ 1.97 and 1.98, submitted herewith are a PTO Form 1449 identifying non-patent documents and references, some of which were cited in an International Search Report recently received in a related PCT application, which may be considered by the Examiner to be material to the patentability of the invention claimed in the above-identified application. Copies of the materials identified in the Form 1449 are also enclosed.

PATENT

This statement is submitted more than 3 months from the application filing date but before the mailing date of the first Office Action. In accordance with 37 C.F.R. § 1.98, submission of this Information Disclosure Statement requires no fee. However, the Commissioner is hereby authorized to charge the payment of any fees required in association with this communication to Deposit Account No. 02-4377.

Respectfully submitted,


Henry Tang
Patent Office Reg. No. 29,705

Attorneys for Applicants
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Enclosures

<p>Form PTO-1449 U.S. Department of Commerce (REV. 2-82) Patent and Trademark Office</p>		Atty. Docket No. AP33682	Serial No. 10/002,788
<p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)</p>			
<p>Applicant Yuste et al.</p>		Filing Date November 2, 2001	Group 2161

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENT

OTHER DOCUMENTS (including Author, Title Date, Pertinent Pages, Etc.)

"A Tutorial on Hidden Markov Models and Selected Applications in Speech Recognition" by Lawrence R. Rabiner, Proceedings of the IEEE; Vol. 77, No. 2, February 1989, pp. 257-285.

"The Segmental K-Means Algorithm for Estimating Parameters of Hidden Markov Models" by Juang et al., IEEE Transactions on Acoustics, Speech and Signal Processing, Vol. 38, No. 9, September 1990, pp. 1639-1641.

NY02:407501.1

Examiner

Date Considered

* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 U.S. Department of Commerce
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Atty. Docket No.
AP33682

Serial No.
10/002,788

Applicant
Yuste et al.

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Group
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**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT**
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"Least-Squares Techniques" by Christopher Bishop, Neural Network for Pattern Recognition, 1995, page 93, 171, and 260.

"Maximum-Likelihood Estimation for Mixture Multivariate Stochastic Observations of Markov Chains" by B. H. Juang, AT&T Technical Journal, Vol. 64, No. 6, July-August 1985, pp. 1235-1249.

"Statistical Interference for Probabilistic Functions of Finite State of Markov Chains" by Baum et al., Interference for Functions of Markov Chains, 1966, pp. 1554-1563.

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